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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/660,857
Filing Date	September 12, 2003
First Named Inventor	PHAN, LOC X.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	018563-001140US

**ENCLOSURES (Check all that apply)**

- Fee Transmittal Form
  - Fee Attached
- Amendment/Reply
  - After Final
  - Affidavits/declaration(s)
- Extension of Time Request
- Express Abandonment Request
- Supplemental Information Disclosure Statement
- Certified Copy of Priority Document(s)
- Response to Missing Parts/ Incomplete Application
- Response to Missing Parts under 37 CFR 1.52 or 1.53

- Drawing(s)
- Licensing-related Papers
- Petition
  - Petition to Convert to a Provisional Application
  - Power of Attorney, Revocation
  - Change of Correspondence Address
- Terminal Disclaimer
- Request for Refund
- CD, Number of CD(s) (Reference Copies) 1

- After Allowance Communication to Technology Center (TC)
- Appeal Communication to Board of Appeals and Interferences
- Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
- Proprietary Information
- Status Letter
- Other Enclosure(s) (please identify below):  
Return Postcard  
Fee Authorization (IDS Page 2)

Remarks The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name

Townsend and Townsend and Crew LLP

Reg. No. 29,541

Signature

Date

September 7, 2004

**CERTIFICATE OF TRANSMISSION/MAILING**

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Tiffany Wu

Signature

Date

September 7, 2004

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On 9/7/04

TOWNSEND and TOWNSEND and CREW LLP

By: 

Tiffany Wu

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

LOC X. PHAN et al.

Application No.: 10/660,857

Filed: September 12, 2003

For: ATTACHMENT DEVICES AND  
METHODS FOR A DENTAL  
APPLIANCE

Examiner: Unassigned

Art Unit: Unassigned

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR §1.97 and §1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Electronic copies of the references are enclosed on 1 CD-ROM disk.

It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

The references cited in the accompanying PTO/SB/08A and PTO/SB/08B, were identified by either or both parties in litigation between Align Technology, Inc., assignee of the above-referenced patent application, and Ormco Corporation in case no. SACV 03-16-GLT

**PATENT**  
Attorney Docket No.: 018563-001140US  
Client Reference No.: AT-00014.3

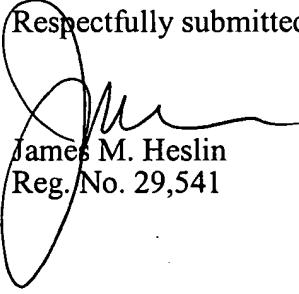


(ANX) before the U.S. District Court, Central District of California, Southern Division, as being potentially relevant to the design, fabrication, and/or use of removable orthodontic appliances and/or to the use of computers or other automatic means for calculating final or intermediate tooth positions for orthodontic treatment.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

  
James M. Heslin  
Reg. No. 29,541

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Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)			<b>Complete if Known</b>		
Sheet	1	of	10	Application Number	10/660,857
				Filing Date	September 12, 2003
				First Named Inventor	PHAN, LOC X.
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				Attorney Docket Number	018563-001140US

<b>U.S. PATENT DOCUMENTS+</b>					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code <sup>2</sup> (if known)			
	AA	2,467,432	04-19-1949	Kesling	
	AB	3,660,900	05-09-1972	Andrews	
	AC	3,860,803	01-14-1975	Levine	
	AD	3,916,526	11-04-1975	Schudy	
	AE	3,950,851	04-20-1976	Bergersen	
	AF	4,014,096	03-29-1977	Dellinger	
	AG	4,195,046	03-25-1980	Kesling	
	AH	4,324,546	04-13-1982	Heitlinger et al.	
	AI	4,348,178	09-07-1982	Kurz	
	AJ	4,478,580	10-23-1984	Barrut	
	AK	4,504,225	03-12-1985	Yoshii	
	AL	4,505,673	03-19-1985	Yoshii	
	AM	4,575,805	03-11-1986	Moermann , et al.	
	AN	4,611,288	09-09-1986	Duret et al.	
	AO	4,656,860	04-14-1987	Orthuber et al.	
	AP	4,663,720	05-05-1987	Duret et al.	
	AQ	4,742,464	05-03-1988	Duret et al.	
	AR	4,755,139	07-05-1988	Abbatte et al.	
	AS	4,763,791	08-16-1988	Halverson et al.	
	AT	4,793,803	12-27-1988	Martz	
	AU	4,798,534	01-17-1989	Breads	
	AV	4,837,732	06-06-1989	Brandestini et al.	
	AW	4,850,864	07-25-1989	Diamond	
	AX	4,856,991	08-15-1989	Breads et al.	
	AY	4,936,862	06-26-1990	Walker et al.	
	AZ	4,937,928	07-03-1990	van der Zel	
	BA	4,964,770	10-23-1990	Steinbichler et al.	
	BB	4,975,052	12-04-1990	Spencer et al.	
	BC	5,011,405	04-30-1991	Lemchen	
	BD	5,017,133	05-21-1991	Miura	
	BE	5,027,281	06-25-1991	Rekow et al.	
	BF	5,035,613	07-30-1991	Breads et al.	
	BG	5,055,039	10-08-1991	Abbatte et al.	
	BH	5,059,118	10-22-1991	Breads et al.	
	BI	5,100,316	03-31-1992	Wildman	
	BJ	5,121,333	06-09-1992	Riley et al.	
	BK	5,128,870	07-07-1992	Erdman et al.	
	BL	5,131,843	07-21-1992	Hilgers et al.	
	BM	5,131,844	07-21-1992	Marinaccio et al.	
	BN	5,139,419	08-18-1992	Andreiko et al.	
	BO	5,184,306	02-02-1993	Erdman et al.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST-3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO				<b>Complete If Known</b>	
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(use as many sheets as necessary)					
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		Number Kind Code <sup>2</sup> (if known)			
	BP	5,186,623	02-16-1993	Breads et al.	
	BQ	5,257,203	10-26-1993	Riley et al.	
	BR	5,273,429	12-28-1993	Rekow et al.	
	BS	5,278,756	01-11-1994	Lemchen et al.	
	BT	5,338,198	08-16-1994	Wu et al.	
	BU	5,340,309	08-23-1994	Robertson	
	BV	5,342,202	08-23-1994	Deshayes	
	BW	5,368,478	11-29-1994	Andreiko et al.	
	BX	5,382,164	01-17-1995	Stern	
	BY	5,395,238	03-07-1995	Andreiko et al.	
	BZ	5,431,562	11-11-1995	Andreiko et al.	
	CA	5,440,496	08-08-1995	Andersson et al.	
	CB	5,447,432	09-05-1995	Andersson et al.	
	CC	5,452,219	09-19-1995	Dehoff et al.	
	CD	5,454,717	10-03-1995	Andreiko et al.	
	CE	5,456,600	10-10-1995	Andreiko et al.	
	CF	5,474,448	12-12-1995	Andreiko et al.	
	CG	5,518,397	05-21-1996	Andreiko et al.	
	CH	5,533,895	07-09-1996	Andreiko et al.	
	CI	5,542,842	08-06-1996	Andreiko et al.	
	CJ	5,549,476	08-27-1996	Stern	
	CK	5,587,912	12-24-1996	Andersson et al.	
	CL	5,605,459	02-25-1997	Kuroda et al.	
	CM	5,607,305	03-04-1997	Andersson et al.	
	CN	5,645,421	07-08-1997	Slootsky	
	CO	5,655,653	08-12-1997	Chester	
	CP	5,683,243	11-04-1997	Andreiko et al.	
	CQ	5,733,126	03-31-1998	Andersson et al.	
	CR	5,740,267	04-14-1998	Echerer et al.	
	CS	5,975,893	11-02-1999	Chishti et al.	

<b>FOREIGN PATENT DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)		
	CT	EP	091,876	A1	10-19-1983	Duret
	CU	EP	299,490	A2	01-18-1989	Steinbichler et al.
	CV	EP	376,873	A2	07-04-1990	Shafir
	CW	EP	490,848	B1	06-17-1992	Andersson et al.
	CX	EP	541,500	A1	06-12-1998	Andersson et al.

Examiner Signature	Date Considered
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			Filing Date	September 12, 2003	
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			Art Unit	Unassigned	
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	CY	EP	731,673	B1	09-18-1998	Andersson et al.
	CZ	EP	774,933	B1	05-28-1997	Oden et al.
	DA	FR	2,652,256	A1	03-29-1991	Jourda
	DB	FR	2,369,828	A1	06-02-1978	Suyehiro
	DC	WO	90/08,512	A1	08-09-1990	Lemcren
	DD	WO	91/04,713	A1	04-18-1991	Jourda et al.
	DE	WO	94/10,935	A1	05-26-1994	Andreiko et al.
	DF	WO	98/44,865	A1	10-15-1998	Andersson
	DG	WO	98/58,596	A1	12-30-1998	Chishti et al.

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Substitute for form 1449B/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	10/660,857
(use as many sheets as necessary)				Filing Date	September 12, 2003
Sheet	4	of	10	First Named Inventor	PHAN, LOC X.
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				Examiner Name	Unassigned
				Attorney Docket Number	018563-001140US

<b>NON PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			T <sup>2</sup>
	DH	ALEXANDER et al., "The DigiGraph Work Station Part 2, Clinical Management," <i>JCO</i> (July 1990), pp. 402-407.			
	DI	ALTSCHULER et al., "Laser Electro-Optic System for Rapid Three-Dimensional (3D) Topographic Mapping of Surfaces," <i>Optical Engineering</i> , Vol. 20(6) (1981), pp. 953-961.			
	DJ	ALTSCHULER et al., "Measuring Surfaces Space-Coded by a Laser-Projected Dot Matrix," <i>SPIE Imaging Applications for Automated Industrial Inspection and Assembly</i> , vol. 182 (1979), p. 187-191.			
	DK	ALTSCHULER et al., "Analysis of 3-D Data for Comparative 3-D Serial Growth Pattern Studies of Oral-Facial Structures," Program and Abstracts of Papers, Feb. 1975, <i>Journal of Dental Research</i> , Vol. 54, IADR Abstracts 1979, 2 pages total.			
	DL	ALTSCHULER, "3D Mapping of Maxillo-Facial Prostheses," AADR Abstract #607, 1980, 2 pages total..			
	DM	American Association for Dental Research, Summary of Activities, March 20-23, 1980, Los Angeles, CA, p. 195.			
	DN	ANDERSSON et al., "Clinical Results with Titanium Crowns Fabricated with Machine Duplication and Spark Erosion," <i>Acta Odontologica Scandinavia</i> , vol. 47 (1989), pp. 279-286.			
	DO	BAUMRIND et al., "A stereophotogrammetric system for the detection of prosthesis loosening in total hip arthroplasty, Applications of Human Biostereometrics (NATO)," <i>Proceedings of the Society of Photo-Optical Instrumentation Engineers</i> , Vol. 166, July 9-13, 1978, pp. 112-123.			
	DP	BAUMRIND et al., "Mapping the Skull in 3-D, Reprinted from The Journal, <i>California Dental Association</i> , Vol. 48, No. 2 (1972 Fall Issue) 11 pages total.			
	DQ	BAUMRIND et al., "Seminars in Orthodontics," <i>Seminars in Orthodontics</i> , Vol. 7, No. 4 (Dec. 2001), p. 222.			
	DR	BAUMRIND, "A System for Craniofacial Mapping Through the Integration of Data from Stereo X-Ray Films and Stereo Photographs," An invited paper submitted to the 1975 American Society of Photogram. Symposium on Close-Range Photogram. Systems, University of Ill., Aug. 26-30, 1975, pp. 1-25.			
	DS	BAUMRIND, "Integrated Three-Dimensional Craniofacial Mapping: Background, Principles, and Perspectives," <i>Seminars in Orthodontics</i> , Vol. 7, No. 4 (Dec. 2001), pp. 223-232.			
	DT	BEGOLE et al., "A Computer System for the Analysis of Dental Casts," <i>The Angle Orthodontist</i> , Vol. 51 No. 3 (July 1981), pp. 253-259.			
	DU	BERNARD et al., "Computerized diagnosis in Orthodontics for Epidemiological Studies" (progress report), Abstracts of Papers, <i>Journal of Dental Research</i> ; Vol. 71, Special Issue March 1-14, 1992, pp. 28-36.			
	DV	BHATIA et al., "A Computer-Aided Design for Orthognathic Surgery," <i>British Journal of Oral and Maxillofacial Surgery</i> , Vol. 22 (1984), pp. 237-253.			
	DW	BIGGERSTAFF et al., "Computerized analysis of occlusion in the postcanine dentition," <i>American Journal of Orthodontics</i> , Vol. 61, No. 3 (Mar. 1972), pp. 245-254.			

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<b>NON PATENT LITERATURE DOCUMENTS</b>			
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	DX	BIGGERSTAFF, "Computerized Diagnostic Setups and Simulations," <i>The Angle Orthodontist</i> , Vol. 40, No. 1 (Jan. 1970), pp. 28-36.	
	DY	BRANDESTINI et al., "Computer Machined Ceramic Inlays: In Vitro Marginal Adaptation," <i>Journal of Dental Research</i> , Vol. 64/Special Issue/Abstracts, IADR/AADR Abstracts 1985, 1 page total.	
	DZ	BROOK et al., "An Image Analysis System for the Determination of Tooth Dimensions from Study Casts: Comparison with Manual Measurements of Mesio-distal Diameter, Abstract of Papers, 1985, Dept. of Children's Dentistry and Orthodontics, <i>J Dent Res.</i> , March 1986, pp. 428-431.	
	EA	BURSTONE (interview), "Dr. Charles J. Burstone on The Uses of the Computer in Orthodontic Practice (Parts 1 and 2)," <i>Journal of Clinical Orthodontics</i> , (Part 1) Vol. 8, No. 7, July 1979; (Part 2) Vol. 8, No. 8 pp. 539-551, Aug. 1979.	
	EB	BURSTONE et al., "Precision adjustment of the transpalatal lingual arch: Computer arch form predetermination," <i>Am. Journal of Orthodontics</i> , Vol. 79, No. 2 (Feb. 1981), pp. 115-133.	
	EC	CHACONAS et al., "The DigiGraph Work Station, Part 1, Basic Concepts," <i>JCO</i> (June 1990), pp. 360-367.	
	ED	CHAFETZ et al., "Subsidence of the Femoral Prosthesis, A Stereophotogrammetric Evaluation," <i>Clinical Orthopaedics and Related Research</i> , No. 201 (December 1985), pp. 60-67.	
	EE	CHIAPPONE, "Constructing the gnathologic setup and positioner" <i>J. Clin. Orthod.</i> , 14:121-133, 1980.	
	EF	COTTINGHAM, "Gnathologic clear plastic positioner" <i>Am. J. Orthod.</i> , 55:23-31, 1969.	
	EG	CRAWFORD, "Computers in Dentistry: Part 1: CAD/CAM: The Computer Moves Chairside," "Part 2: F. Duret — A Man With A Vision," "Part 3: The Computer Gives New Vision- Literally," "Part 4: Bytes 'N Bites" The Computer Moves From The Front Desk To The Operatory, <i>Canadian Dental Journal</i> , vol. 54(9), (1988), pp. 661-666.	
	EH	CRAWFORD, "CAD/CAM in the Dental Office: Does It Work?" <i>Canadian Dental Journal</i> , Vol. 57, No. 2 (Feb. 1991), pp. 121-123.	
	EI	CROOKS, "CAD/CAM Comes to USC," <i>USC Dentistry</i> , (Spring 1990) pp. 14-17.	
	EJ	CURETON, "Correcting malaligned mandibular incisors with removable retainers" <i>J. Clin. Orthod.</i> , 30:390-395, 1996.	
	EK	CURRY et al., "Integrated Three-Dimensional Craniofacial Mapping at the Craniofacial Research Instrumentation Laboratory/University of the Pacific," <i>Seminars in Orthodontics</i> , Vol. 7, No. 4 (Dec. 2001), pp. 258-265.	
	EL	CUTTING et al., "Three-Dimensional Computer-Assisted Design of Craniofacial Surgical Procedures: Optimization and Interaction with Cephalometric and CT-Based Models," <i>Plastic and Reconstructive Surgery</i> , Vol. 77, No. 6 (June 1986), pp. 877-885.	
	EM	DCS Dental AG, "The CAD/CAM 'DCS Titan System' for Production of Crowns/Bridges" <i>DSC Production AG</i> , Jan. 1992, pp. 1-7.	

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	EN	DEFRANCO et al., "Three-Dimensional Large Displacement Analysis of Orthodontic Appliances," <i>J. Biomechanics</i> , Vol. 9 (1976), pp. 793-801.	
	EO	Dental Institute University of Zurich Switzerland, Program for International Symposium on Computer Restorations: State of the Art of the CEREC-Method, May 1991, 3 pages total.	
	EP	DenTrac Corporation, Dentrac document, pp. 4-13.	
	EQ	DURET et al, "CAD-CAM in Dentistry," <i>Journal of the American Dental Association</i> , Vol. 117 (Nov. 1988), pp. 715-720.	
	ER	DURET et al., "CAD/CAM imaging in dentistry," <i>Current Opinion in Dentistry</i> , Vol. 1 (1991), pp. 150-154.	
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Sheet	7	of	10	First Named Inventor	PHAN, LOC X.
				Art Unit	Unassigned
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				Attorney Docket Number	018563-001140US

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	GT	STOLL et al., "Computer-aided Technologies in Dentistry" (Article Summary in English, article in German), <i>Dtsch Zahnärztl Z</i> 45, 314-322, 1990.		
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	GY	VAN DER LINDEN, "A New Method to Determine Tooth Positions and Dental Arch Dimensions," July-August 1972, p. 1104.		

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	GZ	VAN DER ZEL, "Ceramic-fused-to-metal Restorations with a New CAD/CAM System," <i>Quintessence International</i> , vol. 24(11) (1993), pp. 769-778.		
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